

Docket No. IL-10091

Assistant Commissioner for Patents
Washington, DC 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):

INVENTORS: Fred S. Miller and Brian D. Andresen

For (title): **SOLID PHASE MICROEXTRACTION DEVICE USING AEROGEL**

1. Type of Application

☒ This new application is for an original patent.☐ This new application is a:

- ☐ Division
- ☐ Continuation
- ☐ Continuation-in-part (CIP)

2. Benefit of Prior U.S. Application(s) (35 USC 120)

☐ The new application being transmitted claims the benefit of prior U.S. application(s).3. ☐ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:

Application Serial No.

Filing Date

4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).

12 Pages of specification3 Pages of claims1 Pages of abstract2 Sheets of drawings☒ formal☐ informal

5. Additional papers enclosed

- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449
- ☐ Special Comments

6. Declaration or oath

- ☒ Enclosed and executed by
- ☒ inventors
 - ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to The Regents of the University of California.
- ☐ is attached
 - ☐ will follow

8. Certified Copy

Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
(country)	(application no.)	(filed)

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	<u>20</u>	-20 =	<u> </u> x	\$18 =	\$ <u>000.00</u>
Independent Claims	<u>2</u>	-3 =	<u> </u> x	\$78 =	\$ <u>000.00</u>
Multiple Claims				=	\$ <u> </u>
Basic Filing Fee				=	\$ <u>760.00</u>
Sub-Total				=	\$ <u>760.00</u>
Small Entity Filing Fee				=	\$ <u>380.00</u>

10. Small Entity Statement(s)

- ☒ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.

Filing Fee Calculation (50% of regular filing fee) \$ 380.00

11. Fee Payment

- ☐ Not Enclosed
☒ Enclosed (See Account No. Below)

Total Basic Filing Fees To Be Paid \$ 380.00

12. Method of Payment of Fees

- ☐ Check in the Amount of \$ _____
☒ Charge Account No. 12-0695 in the amount of \$ 380.00

A duplicate of this transmittal is attached.

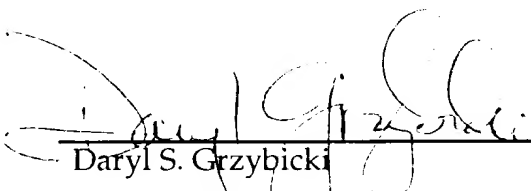
13. Instructions As To Overpayment/Underpayment

- ☒ credit/charge
Account No. 12-0695
☐ refund

Reg. No.: 36,349

Tel. No.: (925) 422-7274

Dated: August 23, 1999



Daryl S. Grzybicki
P.O. Box 808, L-703
Livermore, CA 94551



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Fred S. Miller et al.
Serial No. :
Filed :
For : Solid Phase
Microextraction Device
Using Aerogel

Docket No. : IL-10091

Group No. :

Examiner :

Assistant Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL264488025US

Date of Deposit 9-13-99

I hereby certify that the following *attached* paper or fee

Verified Small Entity Statement, New Application Transmittal,
Application, Two (2) Sheets Formal Drawings, Combined Declaration & Power of
Attorney, Patent Assignment, Recordation Cover Sheet, Information Disclosure
Statement W/References and return postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to
addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to
the Assistant Commissioner for Patents, Box: Patent Application, Washington, D.C.
20231.

Luz N. Hawkins

(Type or print name of person mailing paper)

Luz N. Hawkins

(Signature of person mailing paper or fee)

Docket No. : IL-10091
Art Unit :
Batch No. :
Examiner :

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention, except for a license to a Federal Agency pursuant to 35 USC 202(c) (4).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

X no such person, concern, or organization

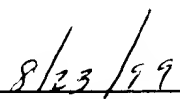
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

JANET G. TULK
Laboratory Counsel
Lawrence Livermore National Laboratory
7000 East Avenue, L-701
Livermore, CA 94551



JANET G. TULK



Date